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**U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**  
**REGIONAL MISSION FOR THE CENTRAL ASIAN REPUBLICS**  
KAZAKHSTAN, KYRGYZSTAN, TAJIKISTAN, TURKMENISTAN, & UZBEKISTAN

03/28/2001

**Issuance Date :**

**Closing Date :** 05/01/2001

**Closing Time :** 10:00am, Almaty Time

**Subject:** Request for Applications (RFA) Number ODT 115-01-004  
**“USAID/CAR Media and Information Initiative”**

The United States Agency for International Development (USAID) is seeking applications for an Assistance Agreement from an organization/ consortium for funding a program for USAID/CAR Media and Information Initiative. The authority for the RFA is found in the Foreign Assistance Act of 1961, as amended.

The Recipient will be responsible for ensuring achievement of the program objective to improve media and information access. Please refer to the Program Description for a complete statement of goals and expected results.

Pursuant to 22 CFR 226.81, it is USAID policy not to award profit under assistance instruments. However, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (22 CFR 226, OMB Circular A-122 for non-profit organization, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations), may be paid under the grant. Subject to the availability of funds, USAID intends to provide approximately \$ 5,000,000 in total USAID funding to be allocated over the 3-year period. However, USAID/CAR applied for additional funds and, if successful, may be providing additional \$2,500,000 approximately. Applicants are encouraged to include an option into their application to be funded should the additional funds become available. USAID reserves the right to fund any or none of the applications submitted.

For the purposes of this program, this RFA is being issued and consists of this cover letter and the following:

1. Section A - Grant Application Format;
2. Section B - Selection Criteria;
3. Section C - Program Description;
4. Section D - Certifications, Assurances, and Other Statements of Applicant/Grantee;

For the purposes of this RFA, the term "Grant" is synonymous with "Cooperative Agreement"; "Grantee" is synonymous with "Recipient"; and "Grant Officer" is synonymous with "Agreement Officer".

USAID/CAR has a preference for electronic applications with only signature page sent by facsimile or captured electronically using commercially available, widely distributed software such as Adobe Portable Document Format (PDF), .jpg, or .tif scan files. If that is not practicable applicants may submit applications in paper form. Regardless applications method used RFA number must be referenced on the first page. Applications are due no later than the closing time and date stated on page one of the cover letter. Applications by any submittal method that are received late and no fault of the U.S. Government, or are incomplete or non-responsive may not be considered in the review process.

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Applicants are requested to submit both technical and cost portions of their applications in separate volumes. Award will be made to that responsible applicant(s) whose application(s) offers the greatest value.

Issuance of this RFA does not constitute an award commitment on the part of the Government, nor does it commit the Government to pay for costs incurred in the preparation and submission of an application. Further, the Government reserves the right to reject any or all applications received. In addition, final award of any resultant grant(s) cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award.

Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

The preferred method of distribution of USAID procurement information is via the Internet. This RFA and any future amendments can be downloaded from the Agency Web Site. The World Wide Web Address is <http://www.usaid.gov>. Select "Business and Procurement" from the home page, then "USAID Procurements". On the following screen, select "Download Available USAID Solicitations". Receipt of this RFA through INTERNET must be confirmed by written notification to the contact person noted below. It is the responsibility of the recipient of the application document to ensure that it has been received from INTERNET in its entirety and USAID bears no responsibility for data errors resulting from transmission or conversion processes.

In the event of an inconsistency between the documents comprising this RFA, it shall be resolved by the following descending order of precedence:

- (a) Section B - Selection Criteria;
- (b) Section A - Grant Application Format;
- (c) Section C - Program Description;
- (d) This Cover Letter.

Any questions concerning this RFA should be submitted in writing to Marcus A. Johnson, Jr., via facsimile at +7(3272) 507 910 or via internet at AlmatyCO@usaid.gov. If there are problems in downloading the RFA off the INTERNET, please contact the USAID INTERNET Coordinator on (202) 712-4442. Applicants should retain for their records one copy of all enclosures that accompany their application.

Sincerely,  
Marcus A. Johnson, Jr.  
Agreement Officer

## Table of Contents

	Page
<b>SECTION A - GRANT APPLICATION FORMAT.....</b>	<b>5</b>
I.    PREPARATION GUIDELINES .....	5
II.   TECHNICAL APPLICATION FORMAT.....	5
III.  COST APPLICATION FORMAT.....	5
<b>SECTION B - SELECTION CRITERIA .....</b>	<b>9</b>
I.    MANDATORY CRITERIA.....	9
II.   WEIGHTED CRITERIA .....	9
<b>SECTION C - PROGRAM DESCRIPTION .....</b>	<b>11</b>
I.    INTRODUCTION .....	11
II.   PURPOSE.....	11
III.  BACKGROUND .....	11
IV.   CHALLENGES.....	12
V.    APPROACH.....	13
VI.   IMPLEMENTATION AND PROPOSED ACTIVITIES.....	14
VII.  CONTRIBUTION TO CROSS-CUTTING OBJECTIVES.....	17
VIII. EXPECTED RESULTS.....	17
IX.   ADMINISTRATIVE AND STAFF STRUCTURE.....	18
<b>SECTION D.....</b>	<b>19</b>
PART I - CERTIFICATIONS AND ASSURANCES .....	19
PART II - OTHER STATEMENTS OF RECIPIENT .....	25
<b>ATTACHMENT A.....</b>	<b>29</b>
CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION	
LOWER TIER COVERED TRANSACTIONS.....	29
KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING.....	31
PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING.....	32

## **SECTION A - GRANT APPLICATION FORMAT**

### **I. PREPARATION GUIDELINES**

All applications received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the application format. Section II addresses the technical evaluation procedures for the applications. Applications which are submitted late or are incomplete run the risk of not being considered in the review process.

Applications shall be submitted in two separate parts: (a) technical and (b) cost or business application. Technical portions of applications should be submitted in an original and 5 and cost portions of applications in an original and 5, if submitted in paper form.

The application should be prepared according to the structural format set forth below. Applications must be submitted no later than the date and time indicated on the cover page of this RFA, to the location indicated in the cover letter accompanying this RFA.

Technical applications should be specific, complete and presented concisely. The applications should demonstrate the applicant's capabilities and expertise with respect to achieving the goals of this program. The applications should take into account the technical evaluation criteria found in Section B.

Applicants should retain for their records one copy of the application and all enclosures that accompany their application. Erasures or other changes must be initialed by the person signing the application. To facilitate the competitive review of the applications, USAID will consider only applications conforming to the format prescribed below.

### **II. TECHNICAL APPLICATION FORMAT**

(a) Cover Page. Title, name of organization(s) submitting application, and contact person, telephone and fax number, email address and street address.

(b) Implementation Plan. (15 page maximum)

(c) Institutional/Personnel Qualifications

I. Organization expertise: Describe previous program experience and staff capabilities which demonstrate the organization's capacity to manage the activities. Include one-page CV summaries of individuals responsible for managing the program.

### **III. COST APPLICATION FORMAT**

The Cost or Business Application is to be submitted under separate cover from the technical application. Certain documents are required to be submitted by an applicant in order for an Grant Officer to make a determination of responsibility. However, it is USAID policy not to burden applicants with undue reporting requirements if that information is readily available through other sources.

The following sections describe the documentation that applicants for Assistance award must submit to USAID prior to award. While there is no page limit for this portion, applicants are encouraged to be as concise as possible, but still provide the necessary detail to address the following:

A. Cover Page. Title, name of organization(s) submitting application, and contact person, telephone and fax number, email address and street address.

B. Include a budget with an accompanying budget narrative which provides in detail the total costs for implementation of the program your organization is proposing. The budget should but submitted using Standard

Form 424 and 424A which can be downloaded from the USAID web site, [http://www.usaid.gov/procurement\\_bus\\_opp/procurement/forms/sf424/](http://www.usaid.gov/procurement_bus_opp/procurement/forms/sf424/);

- the breakdown of all costs associated with the program according to costs of, if applicable, headquarters, regional and/or country offices;
- the breakdown of all costs according to each partner organization involved in the program;
- the costs associated with external, expatriate technical assistance and those associated with local in-country technical assistance;
- the breakdown of the financial and in-kind contributions of all organizations involved in implementing this Cooperative Agreement;
- potential contributions of non-USAID or private commercial donors to this Cooperative Agreement;
- your procurement plan for commodities (note that contraceptives and other health commodities will not be provided under this Cooperative Agreement).

C. A current Negotiated Indirect Cost Rate Agreement;

D. Required certifications and representations (as attached):

E. Applicants who do not currently have a Negotiated Indirect Cost Rate Agreement (NICRA) from their cognizant agency shall also submit the following information:

1. copies of the applicant's financial reports for the previous 3-year period, which have been audited by a certified public accountant or other auditor satisfactory to USAID;
2. projected budget, cash flow and organizational chart;
3. A copy of the organization's accounting manual.

F. Applicants should submit any additional evidence of responsibility deemed necessary for the Grant Officer to make a determination of responsibility. The information submitted should substantiate that the Applicant:

1. Has adequate financial resources or the ability to obtain such resources as required during the performance of the award.
2. Has the ability to comply with the award conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental.
3. Has a satisfactory record of performance. Past relevant unsatisfactory performance is ordinarily sufficient to justify a finding of non-responsibility, unless there is clear evidence of subsequent satisfactory performance.
4. Has a satisfactory record of integrity and business ethics; and
5. Is otherwise qualified and eligible to receive a grant under applicable laws and regulations (e.g., EEO).

G. Applicants that have never received a grant, cooperative agreement or contract from the U.S. Government are required to submit a copy of their accounting manual. If a copy has already been submitted to the U.S. Government, the applicant should advise which Federal Office has a copy.

In addition to the aforementioned guidelines, the applicant is requested to take note of the following:

H. Unnecessarily Elaborate Applications - Unnecessarily elaborate brochures or other presentations beyond those sufficient to present a complete and effective application in response to this RFA are not desired and may be construed as an indication of the applicant's lack of cost consciousness. Elaborate art work, expensive paper and bindings, and expensive visual and other presentation aids are neither necessary nor wanted.

I. Acknowledgement of Amendments to the RFA - Applicants shall acknowledge receipt of any amendment to this RFA by signing and returning the amendment. The Government must receive the acknowledgement by the time specified for receipt of applications.

J. Receipt of Applications - Applications must be received at the place designated and by the date and time specified in the cover letter of this RFA.

K. Submission of Applications:

- (a) Applicants should submit the applications either
  - (i) electronically – internet email with up to 6 attachments per email (2MB size limit) compatible with MS WORD, Excel, Lotus 123 and/or WordPerfect in a MS Windows environment. Pages with signatures must be scanned using a widely commercially available software application such as Portable Document Format (PDF) files, .tif, etc., or only those pages requiring original manual signatures should be sent via facsimile. (Facsimile of the entire proposal is **not** authorized); or
  - (ii) via regular mail - sending 5 paper copies of a technical Application and one original and 5 copies of a cost Application, **however** the issuing office receives regular international mail only once a week. All mail is subject to US Embassy electronic imagery scanning methods, physical inspection, and is not date and time stamped prior to receipt by USAID and the Agreement Officer; or
  - (iii) hand delivery (including commercial courier) of 5 paper copies of a technical proposal and one original and 5 copies of a cost proposal to the issuing office.

Regardless of the method used the Technical Proposal and Cost Proposal must be kept separate from each other. Technical Proposals must not make reference to pricing data in order that the technical evaluation may be made strictly on the basis of technical merit.

L. Preparation of Applications:

1. Applicants are expected to review, understand, and comply with all aspects of this RFA. Failure to do so will be at the applicant's risk.

2. Each applicant shall furnish the information required by this RFA. The applicant shall sign the application and print or type its name on the Cover Page of the technical and cost applications. Erasures or other changes must be initialed by the person signing the application. Applications signed by an agent shall be accompanied by evidence of that agent's authority, unless that evidence has been previously furnished to the issuing office.

3. Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should:

- (a) Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ; and

(b) Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

M. Explanation to Prospective Applicants - Any prospective applicant desiring an explanation or interpretation of this RFA must request it in writing within three weeks of receipt of the application to allow a reply to reach all prospective applicants before the submission of their applications. Oral explanations or instructions given before award of a Grant will not be binding. Any information given to a prospective applicant concerning this RFA will be furnished promptly to all other prospective applicants as an amendment of this RFA, if that information is necessary in submitting applications or if the lack of it would be prejudicial to any other prospective applicants.

N. Grant Award:

1. The Government may award one or more Grants resulting from this RFA to the responsible applicant(s) whose application(s) conforming to this RFA offers the greatest value (see also Section II of this RFA). The Government may (a) reject any or all applications, (b) accept other than the lowest cost application, (c) accept more than one application (see Section B, Selection Criteria), (d) accept alternate applications, and (e) waive informalities and minor irregularities in applications received.

2. The Government may award one or more Grant(s) on the basis of initial applications received, without discussions. Therefore, each initial application should contain the applicant's best terms from a cost and technical standpoint.

3. A written award mailed or otherwise furnished to the successful applicant(s) within the time for acceptance specified either in the application(s) or in this RFA (whichever is later) shall result in a binding Grant without further action by either party. Before the application's specified expiration time, the Government may accept an application, whether or not there are negotiations after its receipt, unless a written notice of withdrawal is received before award. Negotiations conducted after receipt of an application do not constitute a rejection or counteroffer by the Government.

4. Neither financial data submitted with an application nor representations concerning facilities or financing, will form a part of the resulting Grant(s).

O. Authority to Obligate the Government - The Grant Officer is the only individual who may legally commit the Government to the expenditure of public funds. No costs chargeable to the proposed Grant may be incurred before receipt of either a fully executed Grant or a specific, written authorization from the Grant Officer.



## SECTION B - SELECTION CRITERIA

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. To facilitate the review of applications, applicants should organize the narrative sections of their applications in the same order as the selection criteria.

The technical applications will be evaluated in accordance with the Technical Evaluation Criteria set forth below. Thereafter, the cost application of all applicants submitting a technically acceptable application will be opened and costs will be evaluated for general reasonableness, allowability, and allocability. To the extent that they are necessary (if award is made based on initial applications), negotiations will then be conducted with all applicants whose application, after discussion and negotiation, has a reasonable chance of being selected for award. Awards will be made to responsible applicants whose applications offer the greatest value, cost and other factors considered.

Awards will be made based on the ranking of proposals according to the technical selection criteria identified below.

### I. Mandatory Criteria

Applications must satisfy this criterion to be eligible (e.g. responsible) for further consideration.

1. This includes but not limited to the criteria that applicants must be a U.S. Non-Government Organization (NGO) or other type of legal entity accredited or able to obtain accreditation to operate in CAR.
2. Cost Sharing, Matching Arrangement an/or In-Kind Contribution from the recipient is required. The USAID policy is to seek 25% recipient contribution as a target.

“Cost- sharing” means the application presents cash from non-US Federal sources which the offeror will use in the performance of the award. “Matching-Arrangement” means the application presents cash from non-US Federal sources which will be provided at a set ratio (e.g. for every 2 dollars USAID obligates the recipient will provide 1 dollar.) “In-Kind Contribution” means the donation of tangible property (such as computers, medical and lab equipment, but excluding real) or services (such as rent, utilities, etc.) provided by the recipient to the Government.

### II. Weighted Criteria

Applications received in response to this request for applications will be evaluated against the following selection criteria:

#### A. Technical

#### MAXIMUM 80 POINTS

1. **Technical Capacity:** The demonstrated technical ability of the organization will be assessed through its proposed personnel, technical expertise, and past technical experience; strategic goals and objectives; available human and material resources; and operational management.
2. **Strategic Fit:** The likelihood that the programs for which funding is sought will make a recognizable, significant and measurable contribution towards achieving the strategic objective and one or more of the intermediate and lower results identified in this RFA. Note the importance of the indicators linked to activities for which proposals are being requested in judging this criteria. In addition, a proper strategic fit should also take into consideration the particularities of the media development in Central Asia.

3. **Past Performance:** Given that the projects that USAID is eliciting in Kazakhstan, Kyrgyzstan, Tajikistan, and Uzbekistan are based on an evaluation of the specific economic, political, cultural and development conditions of the countries, experience working in these countries and/or experience in the NIS region is very important to demonstrating an organization's ability to carry out proposed activities.
4. **Technical Approach:** Creativity, innovation and feasibility of the proposed technical approach and monitoring/evaluation mechanism, i.e., can the proposed technical approach reasonably be expected to produce the intended outcomes?
5. **Sustainability:** The applicants are encouraged to submit sustainability plans along with the applications. The sustainability plan should specify how proposed program will continue beyond USAID funding. USAID encourages partnerships with local organizations.
6. **Disadvantaged Groups:** The extent to which the organization addresses the special conditions of disadvantaged groups and takes into consideration such factors as gender, disabilities, unemployment and ethnic and linguistic minority, thereby ensuring that programs and policies do not penalize beneficiaries on the above listed grounds.

## **B. Cost**

### **MAXIMUM 20 POINTS**

1. **Cost Sharing, Matching and In-Kind Contributions:** Demonstrated ability to leverage other donor resources: NGOs and development partners should demonstrate their willingness/ability to identify private, unrestricted resources for basic support costs. Such funding may come from many sources including privately generated programming funds from domestic constituencies; commodities or other resources made available by other non U.S. Government sources; Definite commitments from other sources for specific programs should be specifically mentioned and documented. USAID will also consider applications, which are collaboratively prepared between organizations.
2. **Cost Effectiveness:** The cost-effectiveness of the organization's approach and its ability to make a positive measurable impact on a wide base of beneficiaries. Applicants must present a detailed budget including all sources of funds allocated and a detailed description of each budget line item requested.
3. **Amount of USAID contribution.**

## SECTION C - PROGRAM DESCRIPTION

### Program Description USAID/CAR Media and Information Initiative

#### I. Introduction

The United States Agency for International Development Central Asia Regional Mission (USAID/CAR) is seeking applications from qualified applicants to implement a program to provide citizens greater access to information in four Central Asian Republics (Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan). This program also will include a small monitoring effort in Turkmenistan<sup>1</sup>. USAID anticipates one 3-year award (cooperative agreement) resulting from this RFA.

#### II. Purpose

Work performed under this award will contribute to the achievement of Strategic Objective 2.1 as outlined in the USAID Assistance Strategy for Central Asia 2001 – 2005<sup>2</sup>, *Strengthened Democratic Culture Among Citizens and Targeted Institutions*. The primary objective of this activity is to support the development of stronger and more sustainable non-state media outlets. Secondly, this activity will serve to engage citizens in the democratic process through increased availability of useful and credible information and strengthen media as linkages between citizens and government. Activities implemented under the information portion of the award will indirectly support the Mission's overall assistance strategy by increasing information and debate on public policy topics related to the Mission's other strategic objectives. These topics include small and medium business development, fiscal reform, primary health care, prevention of infectious diseases such TB and HIV/AIDS, and natural resource management.

As part of their proposal, applicants are requested to develop tangible, results-oriented indicators that demonstrate progress both in the development of indigenous non-state media institutions and increased availability of reliable information about domestic public issues among the citizens in targeted communities.

#### III. Background

During the past seven years, one of USAID/CAR's objectives has been to support the development of independent broadcast media outlets (television and radio) as a vital component of building more open and participatory Central Asian societies. Media assistance has emphasized basic technical skills in journalism and broadcast media production, station management, optimal use of equipment and media law advocacy. The support of independent media has produced a new, yet still fragile foundation for press freedoms and for diverse sources of information – particularly in Kazakhstan, Kyrgyzstan and Tajikistan – despite increasing political and economic pressures. In Uzbekistan, results of the USAID media assistance program have been mixed. The enabling environment for media in Uzbekistan is better, however, than in Turkmenistan where USAID/CAR has not implemented media activities because of the vastly more challenging political dynamics.

USAID's assistance strategy for Central Asia (adopted in June 2000) posits a significant point related to democracy assistance in Central Asia. The strategy argues that democracy building in Central Asia "requires more fundamental attitudinal changes. Democracy efforts must first make people aware of the possibilities available to them, and increase popular demand for change by fostering political will and commitment for reform." Popular demand for reform can be fostered by building upon this foundation for press freedoms and by providing citizens important

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<sup>1</sup> Since the Government of Turkmenistan has taken an overtly repressive stance toward free and open media, its state controls would almost certainly frustrate any effective implementation of information programs. If circumstances significantly change, we would devote greater resources for Turkmenistan.

<sup>2</sup> USAID/CAR's strategic plan can be found at [www.usaid.gov/regions/europe\\_eurasia/car](http://www.usaid.gov/regions/europe_eurasia/car)

information they need to effect change in their lives. In a departure from previous media assistance, USAID will fund support to broadcast, print, and other media outlets as a means for realizing a broader approach to providing citizens greater access to information. This assistance aims to foster constituency outreach and citizen engagement by funding local productions in Kazakhstan, Kyrgyzstan, Tajikistan and Uzbekistan.

The proposed assistance will directly contribute, not only to the achievement of USAID/CAR's strategic objective 2.1, but also to our local government objective 2.3 (more effective and responsive local government). USAID's other strategic objectives in the health, economic and environment areas will be further advanced by domestic production on relevant topics.<sup>3</sup>

#### IV. Challenges

Media development in Central Asia has been slow and difficult. Government authorities and related dominant media oligarchies continue to maintain control over the largest media outlets. Stagnant economies, generating weak advertising markets, and politically motivated economic pressure (i.e., corruption and inordinate taxation) make it difficult for non-state media to be profitable businesses. The limited advertising market is dominated by the larger and more profitable media oligarchies, leaving unaffiliated media struggling to compete for viewers and clients. The non-state media are generally poor, inexperienced and often suffer persistent harassment from government authorities.

The difficulties nascent non-state media have are compounded by the state's nearly complete control over the major infrastructure necessary for media production and dissemination. In all of the Central Asian states, the government directly controls the only national network of broadcast transmitters. Few broadcasters have been able to develop alternative methods of expanding their reach. In addition, the Central Asian governments generally maintain ownership and control over the printing and distribution system for newspapers and magazines.

Monopolization by the state of most sources of information leaves many potential actors in Central Asia without an outlet for their ideas. This makes civic participation by those outside the privileged circles extremely difficult. Those with an interest in change are effectively excluded from involvement in the political process by an inability to communicate with their potential constituencies. Few political leaders, non-governmental organizations and civic groups know how to effectively use the media to communicate their ideas. The media continue to receive much of their information from official government sources. Many people do not believe that the information they receive from either government sources or non-state media is useful or credible.

The aforementioned challenges, categorized as government or "top-down" pressures, are not the only reasons for the current situation for non-state media in the region. Few journalists are trained in professional journalism and exercise principles of fact-based reporting. In addition, technical media personnel lack adequate capacity to produce their own marketable programming; hence stations choose to re-broadcast Russian and other foreign TV programs. These issues, in addition to nascent knowledge of the marketing sector, limit non-state media's appeal to viewers and potential business clients.

Although the specific circumstances vary from country to country, an enabling environment for a plurality of non-state media outlets and the use of information as an instrument of change are challenged by a number of specific problems.<sup>4</sup>

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<sup>3</sup> USAID/CAR's other strategic objectives include: 1.3 improved environment for the growth of small and medium enterprises; and 1.6 improved management of critical natural resources, including energy; and 3.2 increased access to quality primary health care in select populations.

<sup>4</sup> More discussion of these issues can be found in the following documents and websites: *Report on Independent Press Media in Kazakhstan and the Kyrgyz Republic*, Eurasia Foundation, April 2000; *Association Building for Journalists in Central Asia*, David Mould, August 1999; *Assessment of USAID/CAR's Electronic Media Assistance Program*, Development Associates Inc., James Osborn and Oleg Harencar, August 1998, Under Contract No. OUT-AEP-I-802-96-00005-00 Task Order No. 802; [www.osce.org/fom](http://www.osce.org/fom) [www.internews.org](http://www.internews.org), [www.rferl.org](http://www.rferl.org), [www.camsp.osh.kg](http://www.camsp.osh.kg), [www.cpi.org](http://www.cpi.org), [www.freedomhouse.org](http://www.freedomhouse.org)

- Political, administrative and governmental pressure on media outlets curtails freedom of expression and contributes to self-censorship.
- Underdeveloped economies make financial sustainability based on advertising or production sales an enormous challenge.
- The physical infrastructure and professional expertise do not exist to enable the use of more technologically advanced and/or cost-effective methods of disseminating information, particularly outside the capital cities.
- Regulatory frameworks for non-state media outlets are limiting, poorly developed or simply not implemented.
- Legal information and legal defense assistance for media organizations are insufficient.
- Media receive weak support from watchdog groups, professional associations and the general population. Nascent organizations, if any, monitor the media *vis-à-vis* the state and other actors.
- Limited capacity exists in the areas of professional journalism, marketing, and business management.
- Educational systems and societal norms do not encourage vocal judgement and critical thinking.

Proposed activities should enable non-state media outlets to gain the prerequisite skills and practices to confront these challenges. By funding this media and information initiative, USAID/CAR also seeks to develop a demand for information among the citizenry and foster stronger linkages between the media and the people.

## V. Approach

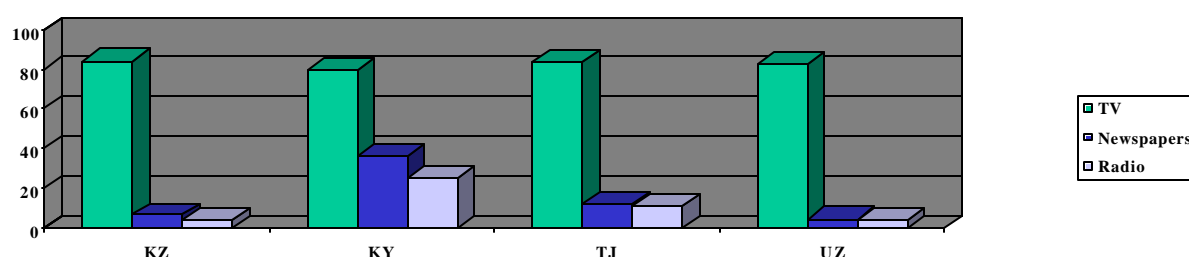
The development of non-state media in Central Asia is fragile and in constant flux. Accordingly, USAID/CAR is seeking proposals that can identify and ensure the effective implementation of media assistance activities while also demonstrating a capacity to respond to changing conditions in innovative ways. USAID will fund support to non-state broadcast, print, and other media outlets as a means for realizing a broader approach to providing citizens greater access to information. Though USAID/CAR has generally given non-state media outlets first priority, proposals can also include targeted, moderate state journalists and outlets in appropriate media activities.

Considering that the majority of Central Asians receive their information from broadcast media, as shown below, USAID/CAR envisions that the majority of the resources for the program will be allocated to supporting television and radio. As a result of increased consolidation of government control over the media, however, additional avenues (e.g., news agencies, production companies, and the Internet) beyond assistance to broadcast media are warranted to support a plurality of non-state media sources and to increase the availability of information. Applicants are encouraged to clearly identify in their proposals the relative level of effort to be dedicated to each medium in the four Central Asian countries.

### WHERE DO CITIZENS RECEIVE THEIR NEWS?

Source: USAID/CAR Commissioned Public Opinion Polls 2000

Those surveyed were permitted to provide multiple responses.



Consistent with USAID's new assistance strategy, considerable emphasis is placed on assisting media outside of the capital cities and on building partnerships (i.e., intra and inter-regionally between and among media outlets, production sources, and communities). This will also enable the implementing partner(s) to engender networks of

citizens, NGOs and associations working together, thereby creating a civil society that supports media development over time – a critical factor for the long-term prospects of developing a free media.

It is envisioned that the winning applicant will enjoy sub-grant authority, allowing the recipient(s) to work with a broad array of potential media outlets, training providers, NGOs and other partners to carry out production training and media-support related work.

## **VI. Implementation and Proposed Activities**

USAID/CAR's strategy emphasizes objective and professional journalism, management training, legal advice and consultation, in-country and regional news exchanges and technical assistance. A production initiative is envisioned, in an effort to further develop media organizations. The strategy proposes to expand these activities to include assistance to print and other media, in addition to broadcast media. Applicants might wish to consider including an analysis of the print media in their proposal, in order to identify the existing opportunities for assistance and to have a baseline from which to measure progress.

USAID/CAR anticipates that these media sector activities will continue to be more or less fully implemented in four of the Central Asian republics.<sup>5</sup> Though this program description does not currently include in-country activities in Turkmenistan, USAID/CAR expects the implementing partner to stay abreast of media developments.

USAID/CAR has divided suggested media assistance activities into five categories. The priority given to each of the components below may vary from country to country. Applicants are encouraged to identify their priorities in their proposal. These outlined components do not preclude the applicants from proposing other ideas for USAID/CAR's new information initiative.

*Illustrative areas of media assistance activity:*

### **A. Media Advocacy**

USAID's program currently includes legal education for journalists and media advocates, legal defense and legislative reform. USAID encourages the continuation of these activities as well as projects that foster dialogue with and between local and national governments, journalists, and media outlets on legal issues affecting media and information.

Media advocacy may entail, among other activities, commenting on amendments to and/or new pieces of media legislation; providing legal counsel to journalists and media outlets in need; providing information about media/journalist rights and press freedoms; linking local organizations and journalists with international organizations and associations defending press freedoms (e.g., Glasnost Defense Fund, Committee to Protect Journalists, Article XIX, etc.); or other activities to promote a culture of media advocacy.

USAID/CAR believes that legal advocacy for the media extends beyond freedom of speech legislation and into other sectors as well. For example, advocating for changes in the tax legislation to provide for lower taxes on the media would be useful and could be carried out in partnership with other organizations working in this area. In addition, through other USAID implementing partners, there may be other opportunities to advocate for media interests.

A sustainable advocacy effort in Central Asian countries requires sufficient training for journalists, legal professionals (law students, lawyers and judges), media managers, and others on freedom of speech and media rights issues. Building a critical mass capable of advocating for freedom of information is needed most. This could

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<sup>5</sup> Kazakhstan, Kyrgyzstan, Uzbekistan and Tajikistan. These activities may or may not be implemented in Turkmenistan, depending on the political situation.

also include working closely with non-media related domestic NGOs and garnering visible support from international media rights organizations.

## **B. Journalism and Media Management Training**

The media sector suffers from a shortfall of trained media personnel and training programs. Therefore, applicants should propose training that raise the ethical and professional standards among journalists, technical staff and managers. Training should entail a number of essential topics ranging from professional journalism (e.g., ethics, news production, news-writing skills, etc.) to media management (e.g., sales, marketing, etc.). A critical mass of trainers in each country would be a key factor in the development of journalistic professionalism and of a qualified technical cadre in the sector. The institutional home for local trainers is unclear given the conservatism of journalism schools and the nascency of associations. Proposals should include viable approaches to developing a sustainable local training capacity.

Internships and exchanges might also be effective to provide Central Asian journalists and technical staff an opportunity to learn from one another and about issues in the region. For example, Kyrgyz journalists might be sent to Uzbekistan or Kazakhstan for a short time to share knowledge, increase intra-regional communication and develop news stories with regional interest.

In addition to in-country training, periodic regional media competitions may provide an interesting development approach. The organization of competitions among regional media in CAR in such categories as best “political, economic reporting” or “news show” might help create multiple positive effects. Local journalists see the best examples from their own region (thus inspiring them to match the level of their strongest colleagues in future competitions). Considerable networking can take place among journalists and media managers, supporting the development of media sector associations. Such competitions are generally considered to be prestigious events and thus local officials may both welcome them and come to better appreciate the positive aspects of independent media. Such competitions represent some of the most effective media assistance strategies supported by other USAID Missions.

Applicants may also choose to include limited support for improving university journalism departments. USAID/CAR has found our previous, limited assistance beneficial to aspiring young journalists. At a minimum, USAID/CAR assistance can, for example, fund a journalism internship program at media outlets or at the implementing partner’s offices to strengthen the capacity of future journalists and technical staff.

## **C. Technical Assistance and Equipment Grants**

Technical assistance entails more specific support to media staff (including journalists, managers, camera persons, editors, etc.) on a variety of issues including production, use of information technology and installation of equipment. USAID/CAR has found that among other approaches, on-site consulting for media outlets (i.e. longer periods of technical assistance at stations or other media outlets) has proven especially effective.

Applicants should include a modest budget line item to purchase or lease equipment to non-state media outlets. Grants for equipment could be provided as part of the production initiative (see below) and/or other competitions. Additionally, other strategic technical capacity improvements, as a means to advance and diversify ownership of the media infrastructure would be useful. The size of the grant program will depend on the availability of USAID funding.

## **D. Information Technology**

Information technology within the media community is widely discussed. However, most discussions are focused on Internet usage, which is fairly limited in Central Asia. There is a generalized tendency to conflate “Internet” with the world-wide web (in reality, the latter is one of many subsets of the former). Although email access for journalists is becoming more common, the media in Central Asia is only beginning to understand the potential of new information technology as a means to access and exchange information. Many media outlets have neither the

requisite equipment nor personnel with the necessary skills to utilize the spectrum of Internet-based resources effectively.

USAID encourages innovative projects to expose media personnel to a variety of information technologies (text-based browsers such as “lynx,” for example, may be a more effective and affordable means for Central Asian journalists to “surf the web”), and to use the Internet to facilitate networking and the sharing information and news stories among media outlets. Partnering with other organizations that currently provide access to the Internet and/or technical assistance regarding other information technologies is expected.

### **E. Local Production Initiative**

A major new component of this RFA is an activity designed specifically to promote the development of media organizations and information dissemination through strengthened local production capacity. In addition to contributing to the democracy strategic objective, the production initiative also indirectly supports the Mission's overall assistance strategy by increasing information and debate on public policy topics related to our other strategic objectives. These topics include small and medium business development, fiscal reform, primary health care, prevention of infectious diseases such TB and HIV/AIDS, and natural resource management.

This initiative aims to increase the reliance on objective, fact-based journalism to highlight certain issues that are of concern to the public. USAID envisions two sub-components of the production initiative: 1) a local production fund; and 2) community outreach activities.

The purpose of the *production fund* is to build local production capacity through the creation of news stories and documentaries on issues or ideas proposed by local media, particularly those topics, which reinforce other USAID objectives. The production fund allows participating media the opportunity to engage in direct application of skills (i.e., “learn by doing”) acquired through training and technical assistance previously outlined. The production fund also serves to inform the public about pressing economic, political and social issues. USAID envisions that participating media would receive funds, through competitive means or otherwise, to produce high quality programs. Applicants should propose their approach to implementing the production fund and the criteria for awarding funding for proposed productions.

The *community outreach* component of the production initiative also aims to build capacity within the media by strengthening media partnerships with people in their communities to generate public awareness campaigns concerning issues that affect citizens. The community outreach component promotes important social goals (e.g., civic activism, tolerance, and neighborhood clean up) that assist citizens in participating in the betterment of their society through public service announcements, newspaper inserts, billboard posters, and other similar activities. Applicants might wish to consider how the model of “civic journalism” can be applied to serve this purpose. Civic journalism has been defined as journalism that uncovers what concerns people in their role as citizens and works to make politics and journalism address those troubles.<sup>6</sup> Applicants should propose their approach to implementing this component of the production initiative.

During USAID/CAR’s recent strategy development process, our partners and stakeholders<sup>7</sup> repeatedly mentioned, among others, the following **illustrative** issues of concern:

- unemployment and poverty
- corruption
- freedom of information

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<sup>6</sup> Edward M. Fouhy, “Civic Journalism: Rebuilding the Foundations of Democracy”, Pew Center for Civic Journalism Spring 1996.

<sup>7</sup> Focus groups, site visits and roundtable discussions were held with USAID/CAR partners and stakeholders, primarily in the democracy area, leading up to the 2001-2005 assistance strategy. Partners and stakeholders include NGO leaders, legal professionals, media personnel, teachers, political party leaders, government officials at the local and national levels, and other citizens.



- domestic violence
- environmental protection/resource management
- access to health care and public health issues
- public and private sector in local level or community decision-making

## **VII. Contribution to Cross-Cutting Objectives**

USAID will be most interested in proposed activities that contribute to its new assistance strategy, specifically to a number of important objectives, most notably:

- Increasing knowledge and information flows among citizens and especially youth;
- Reducing corrupt practices;
- Minimizing gender biases; and
- Mitigating potential for conflict and fostering intra-regional dialogue.

Over the past year, the Mission has concentrated many of its assistance activities in the Ferghana Valley, spanning parts of Tajikistan, Uzbekistan and Kyrgyzstan. The goal of our assistance in this densely populated and multiethnic area is to foster intra-regional dialogue, exchanges and partnerships among the citizenry. USAID/CAR envisions that activities carried out in this region will serve to encourage peaceful change and openness. USAID/CAR anticipates a concentration of information activities in the Ferghana Valley and encourages applicants to include their ideas for programming in this area within their proposals. News exchange activities (e.g., news journals) have also proven successful and useful for information dissemination among media outlets in particular countries as well as regionally. For example, a Ferghana Valley news exchange might highlight social issues in that area or an Aral Sea Basin news exchange might address the environmental, health, and social issues surrounding the Aral Sea disaster.

USAID's assistance program also focuses heavily on a few other geographic areas, such as the Atyrau and Ost-Kommenogorsk Oblasts in Kazakhstan. Consultation with other USAID-funded activities to support mutual public awareness and information goals will be important to the success of the community outreach and production fund activities.

## **VIII. Expected Results**

Work performed under this award will contribute to the achievement of Strategic Objective 2.1 as outlined in the USAID/CAR Assistance Strategy for Central Asia 2001 – 2005, *Strengthened Democratic Culture Among Citizens and Target Institutions*. This objective reflects USAID's emphasis on building an active constituency for democracy. This activity will also serve to further the following intermediate and lower-level results:

IR 2.1.2 Increased availability of information on civic rights and domestic public issues.

LLR 2.1.2.1 Increased news programming

LLR 2.1.2.2 Improved technical, financial and management systems in targeted media entities.

In implementing this program, USAID/CAR seeks to further the ability of the media to serve as a channel of communication for diverse sectors of society. Specifically, applicants are encouraged to consider activities that result in:

- Increased dialogue between journalists, media organizations, civil society and the government over the development and modification of media legislation and regulation.
- Increased professionalism among journalists, technical staff and managers working for non-state owned broadcast and print media.
- Improved capacity for locally produced media programming.
- Improved linkages between civil society and citizens through the media, especially in targeted communities.
- Improved use of information technology for information exchange and dissemination.

As part of the proposal, the implementing partner(s) should develop tangible results-oriented indicators that measure progress in targeted regions toward the SO 2.1 and IR 2.1.1 noted above. After three years, USAID expects the implementing partner(s) to demonstrate:

1. A measurable increase in the percentage of the population receiving the majority of their information about domestic and regional issues from non-state owned media sources.
2. An increase in financially viable, non-government media.
3. A demonstrable improvement in the indigenous capacity of the media to address issues important to citizens.
4. More locally produced, quality media programming.
5. Greater trust in and more positive attitudes towards the non-state media among members of society.
6. Expanded availability and usage of appropriate information technology among media outlets and journalists.
7. Greater awareness and knowledge of citizens in targeted areas on issues critical to their community, particularly relating to democratization, economic reform, environment, and health.

## **IX. Administrative and Staff Structure**

Applicants should plan to include a regional director to be based in Almaty, Kazakhstan, where the central office of USAID/CAR is located. The current program includes a resident director in each of the four Central Asian countries where media activities are currently being implemented. USAID/CAR believes that this provides an appropriate administrative structure for implementing this program. Short-term trainers and other consultants, both regional and international, provide additional expertise as needed. The applicant should also consider appropriate level of effort for sub-grants to local training providers and media monitoring groups.

## **SECTION D**

### **U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT**

#### **CERTIFICATIONS, ASSURANCES, AND OTHER STATEMENTS OF RECIPIENT [1][2]**

### **PART I - CERTIFICATIONS AND ASSURANCES**

#### **1. ASSURANCE OF COMPLIANCE WITH LAWS AND REGULATIONS GOVERNING NON-DISCRIMINATION IN FEDERALLY ASSISTED PROGRAMS**

(a) The recipient hereby assures that no person in the United States shall, on the bases set forth below, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under, any program or activity receiving financial assistance from USAID, and that with respect to the grant for which application is being made, it will comply with the requirements of:

(1) Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352, 42 U.S.C. 2000-d), which prohibits discrimination on the basis of race, color or national origin, in programs and activities receiving Federal financial assistance;

(2) Section 504 of the Rehabilitation Act of 1973 (29 U.S.C. 794), which prohibits discrimination on the basis of handicap in programs and activities receiving Federal financial assistance;

(3) The Age Discrimination Act of 1975, as amended (Pub. L. 95-478), which prohibits discrimination based on age in the delivery of services and benefits supported with Federal funds;

(4) Title IX of the Education Amendments of 1972 (20 U.S.C. 1681, et seq.), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance (whether or not the programs or activities are offered or sponsored by an educational institution); and

(5) USAID regulations implementing the above nondiscrimination laws, set forth in Chapter II of Title 22 of the Code of Federal Regulations.

(b) If the recipient is an institution of higher education, the Assurances given herein extend to admission practices and to all other practices relating to the treatment of students or clients of the institution, or relating to the opportunity to participate in the provision of services or other benefits to such individuals, and shall be applicable to the entire institution unless the recipient establishes to the satisfaction of the USAID Administrator that the institution's practices in designated parts or programs of the institution will in no way affect its practices in the program of the institution for which financial assistance is sought, or the beneficiaries of, or participants in, such programs.

(c) This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts, or other Federal financial assistance extended after the date hereof to the recipient by the Agency, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The recipient recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this Assurance, and that the United States shall have the right to seek judicial enforcement of this Assurance. This Assurance is binding on the recipient, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this Assurance on behalf of the recipient.

## 2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

### (a) Instructions for Certification

(1) By signing and/or submitting this application or grant, the recipient is providing the certification set out below.

(2) The certification set out below is a material representation of fact upon which reliance was placed when the agency determined to award the grant. If it is later determined that the recipient knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

(3) For recipients other than individuals, Alternate I applies.

(4) For recipients who are individuals, Alternate II applies.

### (b) Certification Regarding Drug-Free Workplace Requirements

#### Alternate I

(1) The recipient certifies that it will provide a drug-free workplace by:

(A) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the applicant's/grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(B) Establishing a drug-free awareness program to inform employees about--

1. The dangers of drug abuse in the workplace;
2. The recipient's policy of maintaining a drug-free workplace;
3. Any available drug counseling, rehabilitation, and employee assistance programs; and
4. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(C) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (b)(1)(A);

(D) Notifying the employee in the statement required by paragraph (b)(1)(A) that, as a condition of employment under the grant, the employee will--

1. Abide by the terms of the statement; and
2. Notify the employer of any criminal drug statute conviction for a violation occurring in the workplace no later than five days after such conviction;

(E) Notifying the agency within ten days after receiving notice under subparagraph (b)(1)(D)1. from an employee or otherwise receiving actual notice of such conviction;

(F) Taking one of the following actions, within 30 days of receiving notice under subparagraph (b)(1)(D)2., with respect to any employee who is so convicted--

1. Taking appropriate personnel action against such an employee, up to and including termination; or

2. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(G) Making a good faith effort to continue to maintain a drug- free workplace through implementation of paragraphs (b)(1)(A), (b)(1)(B), (b)(1)(C), (b)(1)(D), (b)(1)(E) and (b)(1)(F).

(2) The recipient shall insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

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#### Alternate II

The recipient certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance in conducting any activity with the grant.

### 3. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS [3]

#### (a) Instructions for Certification

1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

4. The prospective primary participant shall provide immediate written notice to the department or agency to whom this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

5. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, have the meaning set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. [4] You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transaction," [5] provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the methods and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Nonprocurement List.

9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealing.

10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

(b) Certification Regarding Debarment, Suspension, and Other Responsibility Matters--Primary Covered Transactions

(1) The prospective primary participant certifies to the best of its knowledge and belief, the it and its principals:

(A) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

(B) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(C) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(B) of this certification;

(D) Have not within a three-year period proceeding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

#### 4. CERTIFICATION REGARDING LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, United States Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that: If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

#### 5. Prohibition on Assistance to Drug Traffickers for Covered Countries and Individuals (ADS 206)

USAID reserves the right to terminate this [Agreement/Contract], to demand a refund or take other appropriate measures if the [Grantee/ Contractor] is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140. The undersigned shall review USAID ADS 206 to determine if any certification is required for Key Individuals or Covered Participants.

If there are COVERED PARTICIPANTS: USAID reserves the right to terminate assistance to, or take or take other appropriate measures with respect to, any participant approved by USAID who is found to have been convicted of a narcotics offense or to have been engaged in drug trafficking as defined in 22 CFR Part 140.

## 6. CERTIFICATION OF RECIPIENT

The recipient certifies that it has reviewed and is familiar with the proposed grant format and the regulations applicable thereto, and that it agrees to comply with all such regulations, except as noted below (use a continuation page as necessary):

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Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Recipient \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_ Date \_\_\_\_\_

[1] FORMATS: Rev. 06/16/97 (ADS 303.6, E303.5.6a) [2] When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". [3] The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. [4] See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. [5] For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. non-governmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. non-governmental organization.



## PART II - OTHER STATEMENTS OF RECIPIENT

### 1. AUTHORIZED INDIVIDUALS

The recipient represents that the following persons are authorized to negotiate on its behalf with the Government and to bind the recipient in connection with this application or grant:

Name	Title	Telephone No.	Facsimile No.
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

### 2. TAXPAYER IDENTIFICATION NUMBER (TIN)

If the recipient is a U.S. organization, or a foreign organization which has income effectively connected with the conduct of activities in the U.S. or has an office or a place of business or a fiscal paying agent in the U.S., please indicate the recipient's TIN:

TIN: \_\_\_\_\_

### 3. CONTRACTOR IDENTIFICATION NUMBER - DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER

(a) In the space provided at the end of this provision, the recipient should supply the Data Universal Numbering System (DUNS) number applicable to that name and address. Recipients should take care to report the the number that identifies the recipient's name and address exactly as stated in the proposal.

(b) The DUNS is a 9-digit number assigned by Dun and Bradstreet Information Services. If the recipient does not have a DUNS number, the recipient should call Dun and Bradstreet directly at 1-800-333-0505. A DUNS number will be provided immediately by telephone at no charge to the recipient. The recipient should be prepared to provide the following information:

- (1) Recipient's name.
- (2) Recipient's address.
- (3) Recipient's telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the organization was started.
- (7) Number of people employed by the recipient.
- (8) Company affiliation.

(c) Recipients located outside the United States may obtain the location and phone number of the local Dun and Bradstreet Information Services office from the Internet Home Page at <http://www.dbisna.com/dbis/customer/custlist.htm>. If an offeror is unable to locate a local service center, it may send an e-mail to Dun and Bradstreet at [globalinfo@dbisma.com](mailto:globalinfo@dbisma.com).

The DUNS system is distinct from the Federal Taxpayer Identification Number (TIN) system.

DUNS: \_\_\_\_\_

#### 4. LETTER OF CREDIT (LOC) NUMBER

If the recipient has an existing Letter of Credit (LOC) with USAID, please indicate the LOC number:

LOC: \_\_\_\_\_

#### 5. PROCUREMENT INFORMATION

(a) Applicability. This applies to the procurement of goods and services planned by the recipient (i.e., contracts, purchase orders, etc.) from a supplier of goods or services for the direct use or benefit of the recipient in conducting the program supported by the grant, and not to assistance provided by the recipient (i.e., a subgrant or subagreement) to a subgrantee or subrecipient in support of the subgrantee's or subrecipient's program. Provision by the recipient of the requested information does not, in and of itself, constitute USAID approval.

(b) Amount of Procurement. Please indicate the total estimated dollar amount of goods and services which the recipient plans to purchase under the grant:

\$ \_\_\_\_\_

(c) Nonexpendable Property. If the recipient plans to purchase nonexpendable equipment which would require the approval of the Agreement Officer, please indicate below (using a continuation page, as necessary) the types, quantities of each, and estimated unit costs. Nonexpendable equipment for which the Agreement Officer's approval to purchase is required is any article of nonexpendable tangible personal property charged directly to the grant, having a useful life of more than one year and an acquisition cost of \$5,000 or more per unit.

Type/Description (Generic )	Quantity	Estimated Unit Cost
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(d) Source, Origin, and Componentry of Goods. If the recipient plans to purchase any goods/commodities which are not of U.S. source and/or U.S. origin, and/or does not contain at least 50% componentry which are not at least 50% U.S. source and origin, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, and probable source and/or origin, to include the probable source and/or origin of the components if less than 50% U.S. components will be contained in the commodity. "Source" means the country from which a commodity is shipped to the cooperating country or the cooperating country itself if the commodity is located therein at the time of purchase. However, where a commodity is shipped from a free port or bonded warehouse in the form in which received therein, "source" means the country from which the commodity was shipped to the free port or bonded warehouse. Any commodity whose source is a non-Free World country is ineligible for USAID financing. The "origin" of a commodity is the country or area in which a commodity is mined, grown, or produced. A commodity is produced when, through manufacturing, processing, or substantial and major assembling of components, a commercially recognized new commodity results, which is substantially different in basic characteristics or in purpose or utility from its components. Merely packaging various items together for a particular procurement or re-labeling items does not constitute production of a commodity. Any commodity whose origin is a non-Free World country is ineligible for USAID financing. "Components" are the goods which go directly into the production of a produced commodity. Any component from a non-Free World country makes the commodity ineligible for USAID financing.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Goods	Components	Probable Source
-----	-----	-----	----	-----	-----
Goods	Components				
-----	-----	Probable Origin	-----		

(e) Restricted Goods. If the recipient plans to purchase any restricted goods, please indicate below (using a continuation page, as necessary) the types and quantities of each, estimated unit costs of each, intended use, and probable source and/or origin. Restricted goods are Agricultural Commodities, Motor Vehicles, Pharmaceuticals, Pesticides, Rubber Compounding Chemicals and Plasticizers, Used Equipment, U.S. Government-Owned Excess Property, and Fertilizer.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Probable Source	Probable Origin	Intended Use
-----	-----	-----	-----	-----	-----

(f) Supplier Nationality. If the recipient plans to purchase any goods or services from suppliers of goods and services whose nationality is not in the U.S., please indicate below (using a continuation page, as necessary) the types and quantities of each good or service, estimated costs of each, probable nationality of each non-U.S. supplier of each good or service, and the rationale for purchasing from a non-U.S. supplier. Any supplier whose nationality is a non-Free World country is ineligible for USAID financing.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Probable Supplier Nationality (Non-U.S. Only) for non-U.S.	Rationale
-----	-----	-----	-----	-----

(g) Proposed Disposition. If the recipient plans to purchase any nonexpendable equipment with a unit acquisition cost of \$5,000 or more, please indicate below (using a continuation page, as necessary) the proposed disposition of each such item. Generally, the recipient may either retain the property for other uses and make compensation to USAID (computed by applying the percentage of federal participation in the cost of the original program to the current fair market value of the property), or sell the property and reimburse USAID an amount computed by applying to the sales proceeds the percentage of federal participation in the cost of the original program (except that the recipient may deduct from the federal share \$500 or 10% of the proceeds, whichever is greater, for selling and handling expenses), or donate the property to a host country institution, or otherwise dispose of the property as instructed by USAID.

Type/Description (Generic)	Quantity	Estimated Unit Cost	Proposed Disposition
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## 6. PAST PERFORMANCE REFERENCES

On a continuation page, please provide a list of the ten most current U.S. Government and/or privately-funded contracts, grants, cooperative agreements, etc., and the name, address, and telephone number of the Contract/Agreement Officer or other contact person.

## 7. TYPE OF ORGANIZATION

The recipient, by checking the applicable box, represents that -

(a) If the recipient is a U.S. entity, it operates as ☐ a corporation incorporated under the laws of the State of, ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a state or local governmental organization, ☐ a private college or university, ☐ a public college or university, ☐ an international organization, or ☐ a joint venture; or

(b) If the recipient is a non-U.S. entity, it operates as ☐ a corporation organized under the laws of \_\_\_\_\_ (country), ☐ an individual, ☐ a partnership, ☐ a nongovernmental nonprofit organization, ☐ a nongovernmental educational institution, ☐ a governmental organization, ☐ an international organization, or ☐ a joint venture.

## 8. ESTIMATED COSTS OF COMMUNICATIONS PRODUCTS

The following are the estimate(s) of the cost of each separate communications product (i.e., any printed material [other than non-color photocopy material], photographic services, or video production services) which is anticipated under the grant. Each estimate must include all the costs associated with preparation and execution of the product. Use a continuation page as necessary.

## Attachment A

### **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, INELIGIBILITY AND VOLUNTARY EXCLUSION LOWER TIER COVERED TRANSACTIONS**

#### (a) Instructions for Certification

1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below.

2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

4. The terms "covered transaction," "debarred," "suspended," "ineligible," "lower tier covered transaction," "participant," "person," "primary covered transaction," "principal," "proposal," and "voluntarily excluded," as used in this clause, has the meanings set out in the Definitions and Coverage sections of rules implementing Executive Order

12549. 1/ You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier covered Transaction," 2/ without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non procurement List.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph 5 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal

Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

(b) Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion--Lower Tier Covered Transactions

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

Solicitation No. \_\_\_\_\_

Application/Proposal No. \_\_\_\_\_

Date of Application/Proposal \_\_\_\_\_

Name of Applicant/Subgrantee \_\_\_\_\_

Typed Name and Title \_\_\_\_\_

\_\_\_\_\_

Signature \_\_\_\_\_

1/ See ADS Chapter 303, 22 CFR 208.

2/ For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the USAID grant standard provision for U.S. nongovernmental organizations entitled "Debarment, Suspension, and Related Matters" (see ADS Chapter 303), or in the USAID grant standard provision for non-U.S. nongovernmental organizations entitled "Debarment, Suspension, and Other Responsibility Matters" (see ADS Chapter 303).

## KEY INDIVIDUAL CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING

I hereby certify that within the last ten years:

1. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.
2. I am not and have not been an illicit trafficker in any such drug or controlled substance.
3. I am not and have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

Signature: \_\_\_\_\_

Date: \_\_\_\_\_

Name: \_\_\_\_\_

Title/Position: \_\_\_\_\_

Organization: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### NOTICE:

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain key individuals of organizations must sign this Certification.
2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

## **PARTICIPANT CERTIFICATION NARCOTICS OFFENSES AND DRUG TRAFFICKING**

1. I hereby certify that within the last ten years:

a. I have not been convicted of a violation of, or a conspiracy to violate, any law or regulation of the United States or any other country concerning narcotic or psychotropic drugs or other controlled substances.

b. I am not and have not been an illicit trafficker in any such drug or controlled substance.

c. I am not or have not been a knowing assistor, abettor, conspirator, or colluder with others in the illicit trafficking in any such drug or substance.

2. I understand that USAID may terminate my training if it is determined that I engaged in the above conduct during the last ten years or during my USAID training.

Signature: \_\_\_\_\_

Name: \_\_\_\_\_

Date: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Date of Birth: \_\_\_\_\_

### **NOTICE:**

1. You are required to sign this Certification under the provisions of 22 CFR Part 140, Prohibition on Assistance to Drug Traffickers. These regulations were issued by the Department of State and require that certain participants must sign this Certification.

2. If you make a false Certification you are subject to U.S. criminal prosecution under 18 U.S.C. 1001.

**FORMATS:** Rev. 06/16/97 (ADS 303.6, E303.5.6a) When these Certifications, Assurances, and Other Statements of Recipient are used for cooperative agreements, the term "Grant" means "Cooperative Agreement". The recipient must obtain from each identified subgrantee and (sub)contractor, and submit with its application/proposal, the Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Transactions, set forth in Attachment A hereto. The recipient should reproduce additional copies as necessary. See ADS Chapter E303.5.6a, 22 CFR 208, Annex1, App A. For USAID, this clause is entitled "Debarment, Suspension, Ineligibility, and Voluntary Exclusion (March 1989)" and is set forth in the grant standard provision entitled "Debarment, Suspension, and Related Matters" if the recipient is a U.S. nongovernmental organization, or in the grant standard provision entitled "Debarment, Suspension, and Other Responsibility Matters" if the recipient is a non-U.S. nongovernmental organization.